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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re patent application of

Applicant: **Joshua T. Goodman, et al.**  
Serial No.: **10/779,295**  
Filed: **February 13, 2004**  
For: **INTELLIGENT QUARANTINING FOR SPAM PREVENTION**  
Art Unit: **2134**  
Examiner: **Unknown**

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

1. Pursuant to 37 C.F.R. 1.97 and 1.98, and in compliance with 37 C.F.R. 1.56, the Office's attention is directed to the patents, publications and other information listed on the attached PTO-1449. A copy of each listed document is enclosed except for: (a) pending applications or (b) those previously cited or submitted to the Office in the following application(s) upon which this application relies for an earlier filing date under 35 U.S.C. 120:

Serial No.: 10/378,463  
Filing Date: 3/3/2003

Regarding any document, publication or other information for which a date is not given on the attached PTO-1449, Applicant(s) believe(s) the same may qualify as "prior" art to this application and should be treated accordingly, although Applicant(s) reserve(s) the right to contest the prior art status of any document, publication or information, should issue arise.

2. Regarding each listed document that is not in the English language, an English-language translation accompanies this Statement as indicated on the attached PTO-1449 or a concise explanation of the relevance of the document is set forth in the following document(s):

- (a) ☐ Copy of each English language version of a search report indicating the degree of relevance found by the foreign office of each document being submitted from the search report.
- (b) ☐ Attachment entitled "Concise Explanation of Relevance of Non-English Language Documents".

3. Pursuant to 37 C.F.R. 1.97(b) this Statement is being filed (one must be checked):

- (a) ☐ Within 3 months of the filing date or date of entry into the National Stage.
- (b) ☒ Before the mailing date of a first Office Action on the merits. If this Statement is not filed before the mailing date of a first Office Action on the merits, the required certification is given below or, in

the absence thereof, the Office is authorized to charge the required fee set forth in 37 C.F.R.  
(c) \_\_\_\_ After the period set forth in 37 C.F.R. 1.97(b) but before the mailing date of either a final action or a notice of allowance.

(1) \_\_\_\_ The required certification is given below, or

(2) \_\_\_\_ Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(p) for consideration of this Statement.

(d) \_\_\_\_ After the mailing date of either a final action or a notice of allowance, but before payment of the issue fee. Petition hereby is made for consideration of this Statement and the required certification is indicated below.

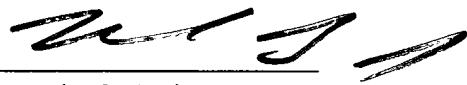
(1) \_\_\_\_ Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(i)(1), or

4. Certification (if applicable)

(a) \_\_\_\_ The undersigned hereby certifies that each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than 3 months prior to the filing of this Statement.

(b) \_\_\_\_ The undersigned hereby certifies that no item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the undersigned's knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. 1.56(c) more than 3 months prior to the filing of this Statement.

Respectfully Submitted,  
AMIN & TUROCY, LLP


By   
Himanshu S. Amin  
Reg. No. 40,894

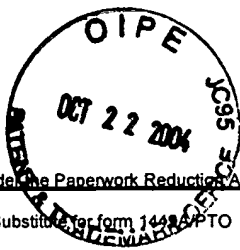
AMIN & TUROCY, LLP  
24<sup>TH</sup> Floor, National City Center  
1900 E. 9<sup>th</sup> Street  
Cleveland, Ohio 44114

CERTIFICATE OF MAILING

I hereby certify that this correspondence (along with any paper referenced as being attached or enclosed) is being deposited on the below date with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450. Alexandria, VA 22313-1450.

Date: 10-19-04

  
Himanshu S. Amin



PTO/SB/08a (08-03)

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**SUPPLEMENTAL INFORMATION  
DISCLOSURE STATEMENT  
BY APPLICANT**

(Use as many sheets as necessary)

Sheet 1 of 7

**Complete if Known**

Application Number	10/779,295
Filing Date	02/13/04
First Named Inventor	Joshua T. Goodman
Art Unit	2134
Examiner Name	Unknown
Attorney Docket Number	MS306896.01/MSFTP560US

**U. S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
		US- 6,779,021	08-17-2004	Bates et al.	
		US- 6,592,627	07-15-2003	Agrawal et al.	
		US- 6,728,690	04-27-2004	Meek et al.	
		US- 6,424,997	07-23-2002	Buskirk Jr. et al.	
		US- 6,684,201	01-27-2004	Brill	
		US- 6,633,855	10-14-2003	Auvenshine	
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		US- 6,327,617	12-04-2001	Fawcett	
		US- 6,308,273	10-23-2001	Goertzel et al.	
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		US- 5,905,859	05-18-1999	Holloway et al.	
		US- 5,805,801	09-08-1998	Holloway et al.	
		US- 2004/0139165	07-15-2004	McMillan et al.	
		US- 2004/0139160	07-15-2004	Wallace et al.	

**FOREIGN PATENT DOCUMENTS**

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		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				

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		US- 2004/0093371	05-13-2004	Burrows et al.	
		US- 2004/0054887	03-18-2004	Paulsen et al.	
		US- 2003/0037074	02-20-2003	Dwork et al.	
		US- 2002/0059425	05-16-2002	Belfiore et al.	
		US- 2002/0016956	02-07-2002	Fawcett	
		US- 5,638,487	06-10-1997	Chigier	
		US- 5,619,648	04-08-1997	Canale et al.	
		US- 5,377,354	12-27-1994	Scannell et al.	
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		US- 6,266,692	07-24-2001	Greenstein	
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		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				
		EP 413 537	02-20-1991	Scannell et al.		
		EP 720 333	07-03-1996	Canale et al.		
		WO 96/35994	11-14-1996	Finney et al.		

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				Filing Date	2/13/2004
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				Art Unit	2134
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Sheet	3	of	7	Attorney Docket Number	MS306896.01/MSFTP560US

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		CYNTHIA DWORK, et al.; "Pricing Via Processing or Combatting Junk Mail"; Presented at Crypto '92; pp. 1-11.	
		THORSTEN JOACHIMS; "Text Categorization with Support Vector Machines: Learning with Many Relevant Features"; LS-8 Report 23, November 1997, 18 pages.	
		DAPHNE KOLLER, et al.; "Hierarchically Classifying Documents Using Very Few Words"; In ICML-97: Proceedings of the Fourteenth International Conference on Machine Learning; San Francisco, CA: Morgan Kaufmann 1997; 9 pages.	
		ELLEN SPERTUS; "Smokey: Automatic Recognition of Hostile Messages"; Proceedings of the Conference on Innovative Applications in Artificial Intelligence (IAAI), 1997, 8 pages.	
		HINRICH SCHUTZE, et al.; "A Comparison of Classifiers and Document Representations for the Routing Problem"; Proceedings of the 18th Annual International ACM SIGIR Conference on Research and Development in Information Retrieval, Seattle, WA, July 9-13, 1995; pp. 229-237.	
		YIMING YANG, et al.; "A Comparative Study on Feature Selection in Text Categorization"; School of Computer Science, Carnegie Mellon University, Pittsburgh, PA, and Verity, Inc., Sunnyvale, CA; 9 pages.	
		YIMING YANG, et al.; "A Comparative Study on Feature Selection in Text Categorization"; School of Computer Science, Carnegie Mellon University, Pittsburgh, PA, and Verity, Inc., Sunnyvale, CA; 9 pages.	
		DAVID D. LEWIS, et al.; "A Comparison of Two Learning Algorithms for Text Categorization"; Third Annual Symposium on Document Analysis and Information Retrieval; April 11-13, 1994; pp. 81-93.	
		MEHRAN SAHAMI; "Learning Limited Dependence Bayesian Classifiers"; In KDD-96: Proceedings of the Second International Conference on Knowledge Discovery and Data Mining; AAAI Press, 1996; Menlo Park, CA; pp. 335-338.	
		WILLIAM W. COHEN; "Learning Rules that Classify E-Mail"; In the Proceedings of the 1996 AAAI Spring Symposium on Machine Learning in Information Access. Downloaded from William Cohen's web page: <a href="http://www.research.att.com/nwcohen/pubs.html">http://www.research.att.com/nwcohen/pubs.html</a> .	

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		MAKOTO IWAYAMA, et al., Hierarchical Bayesian Clustering for Automatic Text Classification, Natural Language, 1995, pp. 1322-1327.	
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		RICHARD B. SEGAL, et al., SwiftFile: An Intelligent Assistant for Organizing E-Mail, In Proceedings of the Third International Conference on Autonomous Agents, May 1999, 7 pages.	
		MEHRAN SAHAMI, et al., A Bayesian Approach to Filtering Junk E-Mail, AAAI Workshop on Learning for Text Categorization, July 1998, 8 pages, Madison, Wisconsin, USA.	

Examiner Signature	Date Considered
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NON PATENT LITERATURE DOCUMENTS			
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		DAVID MADIGAN, Statistics and The War on Spam, Rutgers University, pp. 1-13, 2003.	
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		JOHN WONG, Preventing Spams and Relays, Linux Journal, December 1998, 6 pages, Vol. 1998 Issue 56es, Specialized Systems Consultants, Inc.	
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		Stop, in the Name of Spam, Communications of the ACM, November 1998, pp.11-14, Vol. 41 No. 11.	
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		S. ARGAMON, et al., Routing documents according to style, In First International Workshop on Innovative Information Systems, 1998, 8 pages.	
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1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449/PTO <b>SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(Use as many sheets as necessary)</i>			<b>Complete if Known</b>		
			Application Number	10/779,295	
			Filing Date	2/13/2004	
			First Named Inventor	Joshua T. Goodman	
			Art Unit	2134	
			Examiner Name	Unknown	
Sheet	7	of	7	Attorney Docket Number	MS306896.01/MSFTP560US

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		P.Y. SIMARD, et al., Using Character Recognition and Segmentation to Tell Computer from Humans, International Conference on Document Analysis and Recognition (ICDAR), IEEE Computer Society, 2000, pp. 418-423.	
		S. LI et al., Secure Human-Computer Identification against Peeping: A Survey, Microsoft Research, 2003, 53 pages.	
		D.A. TURNER et al., Controlling Spam through Lightweight Currency, In Proc. of the Hawaii International Conference on Computer Sciences, January 2004, 9 pages.	
		DAPHNE KOLLER, et al., Toward Optimal Feature Selection, Proc. of the Thirteenth International Conference, 1996, 9 pages.	
		DAVID DOLAN LEWIS, Representation and Learning in Information Retrieval, University of Massachusetts, 1992.	

Examiner Signature		Date Considered	
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